

## APPLICATION FOR RECORDS DISPOSITION STANDARD

INSTRUCTIONS: Prepare in duplicate and forward to the Records Management Analyst, Management Systems Division

|   |   |   |                                 |
|---|---|---|---------------------------------|
| 3. Dept., Division, Subdivision & Administering Office Address<br><br>Finance and Administration<br>Division of Audit<br>401 W. Peachtree Street, N. E.<br>Atlanta, Georgia 30308   |   | FOR RECORDS MANAGEMENT DIVISION USE<br>Date Received    Application No.    Date Completed<br>NOV 17 1977    77-445    NOV 22 1977 |                                 |
| 4. Person to Contact<br>Mary Ann Hunt   |   | 5. Working Title<br>Manager of Audit  | 6. Telephone Number<br>586-5068 |
| 7. Action Requested<br>a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate.<br>b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated.<br>c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void   |   |   |                                 |
| 8. Dates of Series<br>Earliest    Latest<br>1972    Present   | 9. Records Series Title (followed by title used in office; if different)<br>Audit Report File |   |                                 |
| 10. Division and Office Function    What is the function of the Division and the Office in which this record series is created?<br><br>The Division of Audit is an independent unit within the Metropolitan Atlanta Rapid Transit Authority (MARTA) for the review of all activities as a service to the Board of Directors, Authority, Management, responsible governmental entities, and the Public at Large. This Division functions as an internal monitor for reviewing each unit within the Authority for adequacy of controls and records, adherence to established policies, plans procedures, regulations, and for reporting on the effectiveness of Authority activities. |   |   |                                 |
| 11. Record Series Description    This file contains the following documents (include form numbers and titles, if any):<br>Attach samples of the file.<br>Documents relating to: <u>Conducting internal operations</u><br>Audits of all Authority-related activities and interests.<br><br>Included are:<br><br>Original or certified copy of all audit reports.<br><br><br><br>File is arranged:    Alphabetically by function;    thereunder numerically by contract number.   |   |   |                                 |
| 12. Monthly Reference Rate    How often are records referred to which are:<br>One to six months old <u>10</u> ; Seven to twelve months old <u>5</u> ; Thirteen to twenty-four months old <u>1</u> ;<br>twenty-five months and older <u>1</u> ?  |   |   |                                 |
| 13. Annual Rate of Accumulation of Records<br>Letter-size drawers _____ ; Legal-size drawers <u>16</u> ; Shelves _____ ; Other (specify) _____  |   |   |                                 |

| YES                                 | NO                                  | 14. Questionnaire (Place an "X" in the proper column)  |
|-------------------------------------|-------------------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/>            | a. Is this the official copy of the series?<br>If not, where is it?  |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.                                     |
| <input checked="" type="checkbox"/> | <input type="checkbox"/>            | c. Is this a vital record? <b>Class B</b>  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/>            | d. Does this series have historical or long term research value? <b>Possible</b>   |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately? |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | f. Is the information contained in this series ever published? If yes, attach copy.  |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | g. Is the information contained in this series ever analyzed and/or recorded in a summarized report?<br>If yes, attach copy.                         |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | h. Is there a duplication of this series in your office, or in another office or agency?<br>If yes, where?   |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | i. Is this series (or a major portion of it) regularly microfilmed?  |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | j. Does the record series result in a computer printout?   |

15. Retention Requirements

The following requires the series to be kept:

- |                          |                 |                                   |              |
|--------------------------|-----------------|-----------------------------------|--------------|
| a. State Law             | _____ years.    | d. Audit period                   | _____ years. |
| b. Statute of limitation | _____ years.    | e. Administrative need            | _____ years. |
| c. Federal law           | <u>3</u> years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

III D. 41 UMTA External Operating Manual  
FPR, Ch. 1, Part 1-15

16. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☐ Other \_\_\_\_\_ then,

- ☒ Hold in the current files area \$ month(s) 1 year(s); then
- ☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then
- ☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then
- ☐ Destroy.
- ☒ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

Urban Mass Transportation Administration EOM III D. p. 41  
FPR, Ch 1, Part 1-15  
Hold for three years past project completion and all audit findings  
have been resolved.

These instructions apply to all prior and future accumulations of the series.

(Indicate briefly rationale for recommendations above/or write additional remarks):

17. APPROVALS

|   |                      |   |                      |
|---|----------------------|---|----------------------|
| Approved <i>[Signature]</i> Department Records Management Officer | Date <u>11/11/77</u> | Approved <i>[Signature]</i> Legal Counsel                       | Date <u>11/16/77</u> |
| Approved <i>[Signature]</i> Division Head/Designee                | Date <u>11/15/77</u> | Approved <i>[Signature]</i> Division of Audit                   | Date <u>11/11/77</u> |
| Approved <i>[Signature]</i> Department Head/Designee              | Date <u>11/15/77</u> | Approved <i>[Signature]</i> Department of Archives and History  | Date <u>11-22-77</u> |
| Approved <i>[Signature]</i> Records Management Analyst            | Date <u>11/15/77</u> | Approved <i>[Signature]</i> MARTA Management Advisory Committee | Date _____           |

## Application for Records Disposition Standard

marta

Department, Name, and Full Address  
MARTAFinancial Audit Division  
100 Peachtree Street, Suite 1300  
Atlanta, Georgia 30302

For Records Management Division Use

Date Received Application No. Date Completed

JUL - 1 1974 74-235 JUL - 3 1974

Appl. Date  
6/5/74Telephone & Ext.  
522-4460 X553Name Person to Contact  
William V. CarasikWorking Title  
Senior AuditorInclusive Dates of Series  
1974 - PresentExact Series Title  
Audit Report - Federal Grants

Action Requested

☒ Establish Disposition Standard  
Record will continue to accumulate☐ Dispose of Present Accumulation;  
No Further Accumulation Anticipated

What is the function of the office in which this record series is created?

The Division of Financial Audit is responsible for doing and/or coordinating all audit work required for the Authority. All work is directed towards assuring top management and outside observers that MARTA is complying with Federal and State Laws, regulations, and procedures and with the stated policies of the MARTA Board of Directors and related management procedures.

This file contains the following documents:

Documents relating to audit of Federal Grants. File Series consist of Audit reports. File is arranged chronologically by date report issued.

| Equipment Occupied       | Vert. | Lat. | No. of Drawers | Cu. ft. of Records | Equipment Occupied                 | Vert.      | Lat.            | No. of Drawers  | Cu. ft. of Records |
|--------------------------|-------|------|----------------|--------------------|------------------------------------|------------|-----------------|-----------------|--------------------|
| Letter-Size File Drawers |       |      |                |                    |                                    |            |                 |                 |                    |
| Legal-Size File Drawers  |       |      |                |                    | Annual Rate of Accumulation        |            |                 |                 |                    |
|                          |       |      |                |                    | Floor Space Occupied (Square feet) |            |                 |                 | In Office (s)      |
|                          |       |      |                |                    | Average Daily References           |            |                 |                 | In Storage Area(s) |
|                          |       |      |                |                    | This Years                         | Last Years | Preceding Years | All Prior Years |                    |

QUESTIONNAIRE (Place an X in the proper box. If answer is "Yes" please explain.)

- 13 Is this the Record Copy of the series? ☒ Yes ☐ No  
Is only copy
- 14 Is there a duplication of this series in another office or agency? ☐ Yes ☒ No
- 15 Is the information contained in this series ever summarized or published? ☐ Yes ☒ No
- 16 Does the series contain classified information requiring security handling? ☐ Yes ☒ No
- 17 Does the series initiate, amend or terminate agency policies and procedures?  
By recommendations ☒ Yes ☐ No
- 18 Could the function be performed if the files were lost or destroyed? ☐ Yes ☒ No
- 19 Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ Yes ☒ No
- 20 Does the record series provide data as input to an EDP file? ☐ Yes ☒ No
- 21 Does the record series contain documentation produced as EDP printout? ☐ Yes ☒ No
- 22 Has the Federal Government issued instructions governing the retention/ disposition of these files? ☒ Yes ☐ No  
UMTA 1000.2, ch 1,2/21/73, par 10
- 23 Will there be a need for these records 10, 15 years from now? If yes, what? ☒ Yes ☐ No  
To satisfy UMTA record retention policy

24 REQUIREMENTS:

The following requires the files to be kept PERM years: (Cite or attach copy of Law, Statute, or other reason for the retention requirement.)

☐ State Law ☐ Statute of Limitation ☐ Audit Period ☐ Federal Law ☐ Administrative Decision ☐ Historical Value

25 RECOMMENDATIONS - Methods: This unit recommends that the file series be cut off at the end of each

- ☐ Calendar Year ☒ Fiscal Year ☐ Other \_\_\_\_\_, then:
- ☐ Hold in the current files area 3 ~~months~~ years; then ☐ Transfer to State Records Center;
- ☐ Hold \_\_\_\_\_ months years; then ☐ Destroy; or ☒ Transfer to State Archives for permanent retention.
- ☐ Destroy after cut-off.
- Operating Instructions:

26 APPROVALS:

Approved Department Records Management Officer

*James W. Hines*  
Approved Division Head / Designer

*P. R. G. ...*  
Approved Department Head / Designer

*Robert W. Wilson*  
Approved Records Management Analyst

*Douglas M. Hani*  
Approved Legal Counsel

*Jeffrey R. Hatt*  
Approved Division of Audit

*P. R. G. ...*

Date

6/21/74

Date

6/20/74

Date

6/24/74

Date

6/21/74

Date

6/21/74

Date

6/24/74

Review / Approval by Department of Archives and History

*Carroll Hart* July 3, 1974

Recommendations:

Approved MARTA Management Steering Committee

# Application for Records Disposition Standard

marta

Department, Name, and Full Address

MARTA

Financial Audit Division

100 Peachtree Street, Suite 1300

Atlanta, Georgia 30303

For Records Management Division Use

Date Received

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JUL - 1 1974

74-236

JUL - 3 1974

Appl. Date

Telephone & Ext.

Name

Person to Contact

Working Title

6/5/74

522-4460 X553

William V. Carasik

Senior Auditor

Inclusive Dates of Series

1974 - Present

Exact Series Title

Audit Report - General Fund

Action Requested



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Record will continue to accumulate



Dispose of Present Accumulation;  
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|                          |      |     |                |                    | In Office (s)                      |            |                 |                 | In Storage Area(s) |
|                          |      |     |                |                    | Average Daily References           |            |                 |                 |                    |
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Approved Department Records Management Officer

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Approved Division Head / Designee

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Approved Records Management Analyst

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Approved Legal Counsel

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Approved Division of Audit

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Review / Approval by Department of Archives and History

Recommendations:

Approved MARTA Management Steering Committee